

# Retention and Classification Report

**Agency:** Department of Health. Office of Internal Audit (54)

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**Records Officer** John Schultheis II

16725	Audit work paper and report files
16727	Bureau correspondence file
81838	Contract files
16726	Supervisor's personnel files

**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 16725

3

**TITLE:** Audit work paper and report files

**DATES:** 1965-

**ARRANGEMENT:** Alphabetical by organization name.

**DESCRIPTION:**

This is the bureau record of the financial audits for Health Department expenditures. It includes auditor reports, expenditure statements, correspondence, contract summary sheets, audit reviews, financial audit reports, engagement information, audit procedures, independent audit copies, and monitoring reports. Information identifies the organizations being audited, and includes audit dates, names of auditors, audit scope and background, financial schedules, recommendations, audit periods, reviewer names, contract numbers, expense lists, audit contact information, and records of follow-up visits.

**RETENTION:**

Retain 9 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 05/2010

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 16725

**TITLE:** Audit work paper and report files

(continued)

**APPRAISAL:**

Administrative Fiscal

These records have administration and fiscal value as they are used to monitor compliance with program funds and recommendations.

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 16727

3

**TITLE:** Bureau correspondence file

**DATES:** 1978-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

This file contains copies of all correspondence sent by and to the bureau. It consists of two duplicate files. It includes memoranda and correspondence to and from the other bureaus within the Health Department and local health departments concerning audits conducted by the bureau.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 03/1987

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 90 days or until no longer needed and then destroy.

Paper: Retain in Office for 2 years or until no longer needed and then destroy.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

**APPRAISAL:**

Administrative Historical

These records are of long-term value because they document the activities of the bureau as a whole and show its policies, achievements, and activities. However, correspondence dealing with routine day-to-day matters should be weeded out when no longer needed. Also, one copy of the correspondence should be sufficient for the needs of the office. Records under "1" include one set of the correspondence, letters of transmittal that do not add any information to that contained in the transmitted

**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 16727

**TITLE:** Bureau correspondence file

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material. Quasi-official notices such as memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals and similar papers. Records under "2" relate to the internal administration or housekeeping activities of the office. In general these records relate to the office organization, staffing, procedures, and communications; the day-to-day administration of office personnel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. Also, records that are duplicates of information filed elsewhere. Records under "3" are not duplicated elsewhere and document how the office is organized and how it functions, its pattern of action, its policies, procedures, and achievements.

**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 81838

3

**TITLE:** Contract files

**DATES:** 1981-

**ARRANGEMENT:** alphabetical by division

**DESCRIPTION:**

This is the record copy of all the department's contracts. The files include maintenance contracts, procurement contracts, service contracts, and facility contracts.

**RETENTION:**

Retain 6 years after contract expires.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 07/19/2010

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after contract expires and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

**APPRAISAL:**

Administrative Legal

This disposition is based on the administrative needs expressed by the agency and the legal requirements specified in UCA 72-12-23 (2005) indicating no legal action can be taken after "6 years."

**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 81838

**TITLE:** Contract files

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 16726

3

**TITLE:** Supervisor's personnel files

**DATES:** 1978-

**ARRANGEMENT:** Alphabetical by name

**DESCRIPTION:**

These are files maintained by the bureau manager on the bureau employees for purposes of evaluation. The file also contains unsolicited resumes and copies of state job applications. They include copies of job applications, performance appraisal plans, school transcripts, and employee evaluations. Information includes age, current and past addresses, educational level, employer, employment history, grade average or class standing, job position information (grade/step, etc.), marital status, name, occupation, occupational preferences, sex, signature, and social security number.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 03/1987

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

Administrative

Information on current employees should be kept for evaluation purposes. As a performance appraisal covers one year, records should be kept for that length of time only. Information on unsuccessful job applicants is kept in the Personnel Bureau and need not be retained here.



**AGENCY:** Department of Health. Office of Internal Audit

**SERIES:** 16726

**TITLE:** Supervisor's personnel files

(continued)

**PRIMARY CLASSIFICATION:**

Private